

01-03-02

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12/20/01

J0853 U.S. PTO

Please type a plus sign (+) inside this box: ☐

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. CMB 0651-0032
Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

First Inventor

Warbrick

Title

Optical Protection Scheme

Express Mail Label No

EL 874 025 647 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 202311. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)2. ☐ Applicant claims small entity status
See 37 CFR 1.278. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)3. ☒ Specification [Total Pages 27]
(preferred arrangement set forth below)a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on

i. ☐ CD-ROM or CD-R (2 copies); orii. ☐ paperc. ☐ Statements verifying identity of above copies

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10]

5. Oath or Declaration [Total Pages 3]

a. ☒ Newly executed (original or copy)b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)i. ☐ DELETION OF INVENTOR(S)Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).6. ☐ Application Data Sheet See 37 CFR 1.76

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))10. ☐ 37 CFR 3.73(b) Statement [] Power of Attorney
(when there is an assignee)11. ☐ English Translation Document (if applicable)12. ☐ Information Disclosure Statement (IDS)/PTO-1449 [] Copies of IDS Citations13. ☒ Preliminary Amendment14. ☒ Return Receipt Postcard (MPEP 503)

(Should be specifically itemized)

15. ☒ Certified Copy of Priority Document(s)(if foreign priority is claimed)
16. ☒ Request and Certification under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.17. ☐ Other:18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,
or in an Application Data Sheet under 37 CFR 1.76☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____

Prior application information. Examiner _____ Group / Art Unit _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied
under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by
reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label _____ or ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name William M. Lee, Jr.
LEE, MANN, SMITH, MCWILLIAMS, SWEENEY & OHLSON

Address P. O. Box 2786

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State IL

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Country U.S.A.

Telephone 312-368-1300

Fax 312-368-0034

Name (Print/Type) Peter J. Shukala

Registration No. (Attorney/Agent)

40,808

Signature

Date 12-20-01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any
comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office,
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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT \$1,512.00

Complete if Known

Application Number	
Filing Date	
First Named Inventor	Warbrick
Examiner Name	
Group Art Unit	
Attorney Docket No.	476-2080

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	12-0913
Deposit Account Name	

- ☒ Charge Any Additional Fee Required

Under 37 CFR §§ 1.16 and 1.17

- ☐ Applicant claims small entity status
See 37 CFR § 1.27

2. ☒ Payment Enclosed.

- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	740	201 Utility filing fee	740.00
106	330	206 Design filing fee	
107	510	207 Plant filing fee	
108	740	208 Reissue filing fee	
114	160	214 Provisional filing fee	
SUBTOTAL (1)			\$740.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
28	26** = 8	18.00	144.00
Independent Claims	10 - 3** = 7	84.00	588.00
Multiple Dependent			

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
103	18	203 Claims in excess of 20	
102	84	202 Independent claims in excess of 3	
104	280	204 Multiple dependent claim, if not paid	
109	84	209 ** Reissue independent claims over original patent	
110	18	210 ** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) \$732.00

**or number previously paid, if greater. For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non - English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR § 1.17(c)	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$40.00

SUBMITTED BY

Name (Print/Type)	Peter J. Kipkin
Signature	

Registration No (Attorney/Agent)	40,888
----------------------------------	--------

Complete (if applicable)

Telephone	312-368-1360
Date	12-26-01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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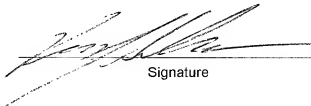
**REQUEST AND CERTIFICATION
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor	Warbrick
Title	Optical Protection Scheme
Atty Docket Number	476-2080

I hereby certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

12-20-01

Date



Signature

Peter J. Shakula

Type or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

12/20/01

JC853 U.S. PTO

CASE NO. 476-2060
Nortel

Please acknowledge receipt of the enclosed
New US Patent Application for
WARBRICK
OPTICAL PROTECTION SCHEME

Serial No To Be Assigned
Filed Herewith

- 1 Utility Patent Application Transmittal
- 2 Fee Transmittal for FY 2002 (in duplicate)
- 3 Specification (27 pages) including Abstract and Drawings (10 Sheets)
- 4 Assignment Cover Sheet w/Assignment
- 5 Request and Certification Under U.S.C. 122(b)(2)(B)(i)
- 6 Preliminary Amendment Accompanying Application w/Version With Markings
- 7 Check No 47353 in the amount of \$1512.00
- 8 Express Mail Certificate
9. Return Post Card
DUE DATE (If Any): NEW APPLICATION
DATE SENT December 20, 2001
WMLJ:tp

"Express Mail" mailing label number
EL 874 025 647 US

Date of deposit: December 20, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington DC 20231

Jorge Galvan
(Typed or printed name of person mailing paper or fee)


(Signature of person mailing paper or fee)

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